

TRANSMITTAL LETTER THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

9847-26X PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/554921

INTERNATIONAL APPLICATION NO.

PCT/EP98/07729

INTERNATIONAL FILING DATE

30 NOVEMBER 1998

PRIORITY DATE CLAIMED

28 NOVEMBER 1997

TITLE OF INVENTION

TRANSFORMER

APPLICANT(S) FOR DO/EO/US

Thorsten SCHUTTE, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 18 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☒ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☐ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

Request for Consideration of Documents Cited in International Search Report

Notice of Priority

Marked-up Copy of Specification


Form PTO-1449

Response to Petition Under 37 CFR 1.182

List of Related Cases

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.52) <b>09/554921</b>	INTERNATIONAL APPLICATION NO. <b>PCT/EP98/07729</b>	ATTORNEY'S DOCKET NUMBER <b>9847-0062-6X PCT</b>
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20. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b>				<b>CALCULATIONS PTO USE ONLY</b>	
<input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO .....				<b>\$840.00</b>	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) .....				<b>\$670.00</b>	
<input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....				<b>\$760.00</b>	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....				<b>\$970.00</b>	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....				<b>\$96.00</b>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$840.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30				<b>\$130.00</b>	
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total claims	23 - 20 =	3	x \$18.00	<b>\$54.00</b>	
Independent claims	3 - 3 =	0	x \$78.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1,024.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$1,024.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1,024.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1,024.00</b>	
				<b>Amount to be: refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

<input checked="" type="checkbox"/> A check in the amount of <b>\$1,024.00</b> to cover the above fees is enclosed.	
<input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.	
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. <b>15-0030</b> A duplicate copy of this sheet is enclosed.	
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>	
<b>SEND ALL CORRESPONDENCE TO:</b>	
<b>OBLON, SPIVAK, McCLELLAND, MAIER &amp; NEUSTADT, P.C.</b> 1755 Jefferson Davis Highway, Fourth Floor Crystal Square Five Arlington, Virginia 22202 703-413-3000	 <b>SIGNATURE</b> <b>Bradley D. Lytle</b> <b>NAME</b> <b>40,073</b> <b>REGISTRATION NUMBER</b> <b>May 22, 2000</b> <b>DATE</b>
<b>WILLIAM E. BEAUMONT</b> <b>REGISTRATION NUMBER 30,996</b>	

DOCKET NO. 9847-0062-6X

ENKEL 8368

IN RE APPLICATION OF: Thorsten SCHUTTE, et al.

SERIAL NO.: NEW U.S. PCT APPLICATION(based on PCT/EP98/07729)

FILED: HEREWITH

FOR: TRANSFORMER

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required.
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.
- ☒ Additional documents filed herewith: Substitute Specification/PCT Transmittal Letter  
Preliminary Amendment/International Search Report/Request for Consideration  
Notice of Priority/Check for \$1,024.00/Marked-up Copy of Specification  
Information Disclosure Statement/Form PTO-1449/Response to Petition Under 37 CFR 1.182  
List of Related Cases

The fee has been calculated as shown below.

The fee has been calculated as shown below.

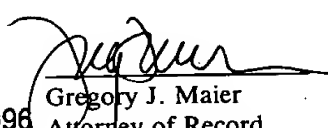
(Col. 1)			(Col. 2)		(Col. 3)		SMALL ENTITY		OTHER THAN A SMALL ENTITY		
	CLAIMS REMAINING AFTER		HIGHEST NUMBER PREVIOUSLY PAID FOR		PRESENT EXTRA		RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
TOTAL	* 23	MINUS	** 23	=	0		X9 =	\$		X18 =	\$ .00
INDEP	* 3	MINUS	*** 3	=	0		X39 =	\$		X78 =	\$ .00
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM							+130=	\$		+260=	\$
TOTAL								\$		TOTAL	\$ .00

A check in the amount of \$\_\_\_\_\_ is attached.

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- ☒ If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

WILLIAM E. BEAUMONT  
REGISTRATION NUMBER 30,996

  
Gregory J. Maier  
Attorney of Record  
Registration No. 25,599  
Bradley D. Lytle  
Registration No. 40,073

Fourth Floor  
1755 Jefferson Davis Highway  
Arlington, Virginia 22202  
(703) 413-3000

- \*If the entry in Column 2 is less than the entry in Column 1 write "0" in Column 3.  
\*\*If the "Highest Number Previously paid for" IN THIS SPACE is less than 20 write "20" in this space.  
\*\*\*If the "Highest Number Previously paid for" IN THIS SPACE is less than 3 write "3" in this space.